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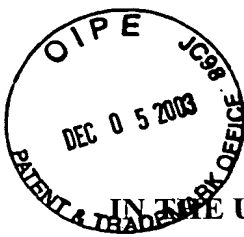
2823

|  |   |                        |                         |
|--|---|------------------------|-------------------------|
| <b>TRANSMITTAL FORM</b><br><i>(to be used for all correspondence after initial filing)</i> |   | Application Number     | 09/813,304              |
|  |   | Filing Date            | March 21, 2001          |
|  |   | First Named Inventor   | Katsunori NISHII et al. |
|  |   | Group Art Unit         | 2823                    |
|  |   | Examiner Name          | Fernando L. Toledo      |
| Total Number of Pages in This Submission   | 4 | Attorney Docket Number | 740819-529              |

| ENCLOSURES (check all that apply)  |   |  |
|--|---|--|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Declaration and Power of Attorney<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input type="checkbox"/> Application Data Sheet<br><input type="checkbox"/> Request for Corrected Filing Receipt with Enclosures<br><input checked="" type="checkbox"/> A self-addressed prepaid postcard for acknowledging receipt<br><input type="checkbox"/> Other Enclosure(s) (please identify below):<br><br>TECHNOLOGY CENTER<br>DEC 5 2003<br>RECEIVED |
| Remarks  |   | <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 19-2380 for the above identified docket number.   |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |   |
|--|---|
| Firm or Individual name                    | Donald R. Studebaker<br>Nixon Peabody LLP<br>401 9 <sup>th</sup> Street, N.W.<br>Suite 900<br>Washington, D.C. 20004-2128 |
| Signature                                  |   |
| Date                                       | December 5, 2003  |

| CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]  |  |
|---|--|
| I hereby certify that this correspondence is being:   |  |
| <input type="checkbox"/> deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 |  |
| <input type="checkbox"/> transmitted by facsimile on the date shown below to the United States Patent and Trademark Office at (703) _____   |  |
| <u>12-5-03</u><br>Date  | <br>Signature<br>Linda Ritter<br>Typed or printed name |



Application No. 09/813,304

Docket No. 740819-529

In re Patent Application of: )  
Katsunori NISHII et al. )  
Serial No. 09/813,304 )  
Filed: March 21, 2001 )  
For: SEMICONDUCTOR DEVICE AND )  
METHOD OF FABRICATING THE SAME )

Examiner: Fernando L. Toledo

Group Art Unit: 2823

Confirmation No.: 1540

### INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. §1.56, Applicants hereby submit the following information in conformance with 37 C.F.R. §§ 1.97 and 1.98. Pursuant to 37 C.F.R. § 1.98, a copy of each of the documents cited is enclosed.


The undersigned certifies that either (1) each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in connection with a counterpart foreign application not more than three (3) months prior to the filing of this statement, or (2) no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

Enclosed is a copy of the European Search Report dated September 29, 2003, for a corresponding European patent application together with the references cited therein.

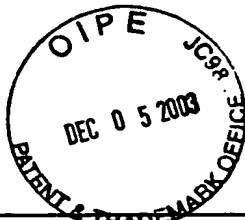
It is requested that the accompanying PTO-1449 be considered and made of record in the above-identified application. To assist the Examiner, the documents are listed on the attached form PTO-1449. It is respectfully requested that an Examiner initialed copy of this form be returned to the undersigned.

The Commissioner is hereby authorized to charge any fees connected with this filing which may be required now, or credit any overpayment to Deposit Account No. 19-2380. (740819-529)

Respectfully submitted,  
NIXON PEABODY LLP

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|   |   |    |   |                          |            |
|---|---|----|---|--------------------------|------------|
| <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b><br>(use as many sheets as necessary) |   |    |   | <b>Complete if Known</b> |            |
|   |   |    |   | Application Number       |            |
|   |   |    |   | Filing Date              |            |
|   |   |    |   | First Named Inventor     |            |
|   |   |    |   | Art Unit                 |            |
|   |   |    |   | Examiner Name            |            |
| Sheet   | 1 | of | 1 | Attorney Docket Number   | 740819-529 |

| U.S. PATENT DOCUMENTS          |                       |  |                                |   |   |
|--------------------------------|-----------------------|--|--------------------------------|---|---|
| Examiner Initials <sup>1</sup> | Cite No. <sup>1</sup> | U.S. Patent Document                       | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|                                |                       | Number - Kind Code <sup>2</sup> (if known) |                                |   |   |
|                                |                       | US-4,325,182                               | 04-20-1982                     | Tefft et al.                                    |   |
|                                |                       | US-5,929,467                               | 07-27-1999                     | Kawai et al.                                    |   |
|                                |                       | US-  |                                |   |   |

| FOREIGN PATENT DOCUMENTS       |                       |   |                                |   |   |                |
|--------------------------------|-----------------------|---|--------------------------------|---|---|----------------|
| Examiner Initials <sup>1</sup> | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T <sup>6</sup> |
|                                |                       | Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) |                                |   |   |                |
|                                |                       | JP 2000-164926  | 06-16-2000                     | Kawai   |   | Abstract       |
|                                |                       | WO 96/42114   | 12-27-1996                     | Chai  |   | Full           |

| OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS |                       |   |                |
|---|-----------------------|---|----------------|
| Examiner Initials <sup>1</sup>                    | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|   |                       | KUROMITSU ET AL., "DEVELOPMENT OF A SURFACE-TREATMENT METHOD FOR AIN SUBSTRATES TO IMPROVE ADHESION WITH THICK-FILM CONDUCTORS", JOURNAL OF ADHESION SCIENCE AND TECHNOLOGY, VOL. 12, NO. 1, PP. 105-119, 1998  |                |
|   |                       | MASATO ET AL., "NOVEL HIGH DRAIN BREAKDOWN VOLTAGE AlGaIn/GaNHFETs USING SELECTIVE THERMAL OXIDATION PROCESS", INTERNATIONAL ELECTRON DEVICES MEETING 2000, PP.377-380  |                |
|   |                       | READINGER ET AL., "AN INVESTIGATION OF THE THERMAL OXIDES ON GALLIUM NITRIDE GROWN UNDER VARIOUS OXIDIZING AMBIENTS" ELECTROCHEMICAL SOCIETY PROCEEDINGS, Vol. 98-18, PP. 215-224, NOVEMBER 1998  |                |
|   |                       | EUROPEAN SEARCH REPORT DATED SEPTEMBER 29, 2003   |                |

|                    |                 |
|--------------------|-----------------|
| Examiner Signature | Date Considered |
|--------------------|-----------------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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